

## Infection Control

**Ambulatory Surgical Centers**  
**Hospitals**  
**Long Term Care Facilities**  
**Home Health Agencies**  
**Hospice**  
**ESRDs**  
**ICF/MRs**



## Overview

- Background
- Conditions of Participation- Rules and Regulations
- What Surveyors are looking for
- Preventing the spread of infections
- Deficiency Frequency and Severity



## Background

### Why Important

- 1 of top 10 causes of death
  - Expensive
- Often preventable



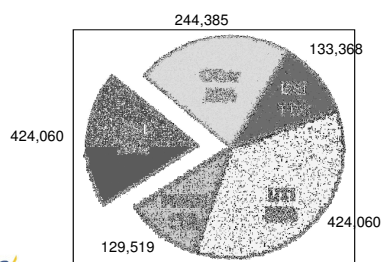
## What Needs to Be Controlled... Defining the Source

- Infectious Diseases
- Infectious Agents
  - Bacteria, Viruses, Fungi, Protozoa, Helminthes, Prions



## Types of Infections

Figure. Calculation of estimates of health care-associated infections in U.S. hospitals among adults and children outside of intensive care units, 2002

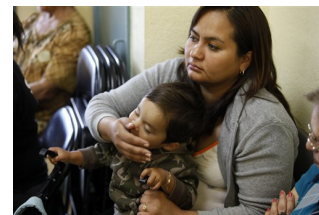


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## Challenges in Infection Control

- Multi- drug Resistant Organisms
- Ambulatory Care Settings



### ASC Guidelines for Infection Control

CFR 416.51 Condition of Participation: Infection Control

- "The ASC must maintain an infection control program that seeks to minimize infections and communicable diseases."

Standards (Q241-Q245)

- Sanitary Environment
- Ongoing IC program following IC guidelines
- Qualified professional directs IC program
- IC program an integral part of QAPI
- IC program has a plan of action for combating infections and communicable diseases



### Estimated Annual Hospital Cost of HAI by Site of Infection

Major Site of Infection	Total Infections	Hospital Cost Per Infection	Total Annual Cost in Millions	Deaths per year
SSI	290,485	\$25,546	\$7,421	13,088
Central line-associated bloodstream infection	248,678	<b>\$36,441</b>	<b>\$9,062</b>	30,665
Ventilator-associated pneumonia	250,205	\$9,969	\$2,494	<b>35,967</b>
Catheter-associated UTI	<b>561,667</b>	\$1,006	\$565	8,205



HHS Action Plan



### Hospital Guidelines for Infection Control

CFR 482.42 Condition of Participation: Infection Control

- "Hospital must provide a sanitary environment to avoid sources and transmission of infections and communicable diseases. There must be an active program for the prevention, control and investigation of infections and communicable diseases."

Standards (A748-A756)

- Organization and Policies
- System developed by IC officer for identifying, reporting, investigating, and controlling infections and communicable diseases
- IC officer maintains log of incidents
- CEO, medical staff, and nursing director ensure QAPI program address problems identified in infection prevention and control program



### What Surveyors are looking for:

#### SOM Appendix A (A747-A756)

- Hospital Wide Policies and Procedures
- Correct Implementation of Policies and Procedures
- Sanitary Conditions
- Program integrated into hospital wide QAPI program



### Preventing the Spread of Infection in Hospitals

- Sanitary physical environment
- Policies regarding employee infection
- Early identification and isolation of patients
- Surgery-related infection risk measures
- Hand washing
- Prevention of device-associated BSI
- Care techniques



### Deficiency Frequency and Severity in FY 2008

- **National (4,946 Providers/ 328 Surveys)**  
**0.7%** A747 Condition Level Non Compliance  
**2.1%** A749 Infection Control Officer Responsibilities
- **Region 9 (544 Providers/ 2,929 Surveys)**  
**0.3%** A747 Condition Level Non Compliance  
**0.4%** A749 Infection Control Officer Responsibilities
- **Nevada (40 Providers/ 10 Surveys)**  
**30%** A747 Condition Level Non Compliance  
**50%** A749 IC Officer Responsibilities



## Long Term Care Guidelines for Infection Control

### CFR 483.65 Infection Control

- "The facility must establish and maintain an infection control program designed to provide a safe, sanitary, and comfortable environment and to help prevent the development and transmission of disease and infection."

### Standards (F441-445)

- Infection Control Program
- Preventing the spread of infection
- Linens



## What Surveyors are looking for:

### SOM Appendix PP (F441- F445)

#### Examples include:

- Sanitation of tub, shower and care equipment
- Monitoring of residents on antibiotic therapy
- Care staff hand washing
- Residents who require isolation are isolated
- Linens handled properly



## Preventing the Spread of Infection in LTC Facilities

- Isolation when necessary
- Prohibiting contact of employees with infections/ communicable disease
- Handwashing
- Linen Care



## Deficiency Frequency and Severity

### National (16,024 Providers/ 65,240 Surveys)

- **66.7%** F441 Cited for not establishing IC program in FY 2008

### Region 9 (1,512 Providers/ 10,359 Surveys)

- **76.7%** F441 Cited for not establishing IC Program in FY 2008

### Nevada (48 Providers/ 217 Surveys)

- **57.1%** F441 Cited for not establishing IC program in FY 2008



## Home Health Agencies

CFR 484.12 Condition of Participation: Compliance with Federal, State and Local Laws, Disclosure and Ownership Information, and Accepted Professional Standards and Principles

CFR 484.12(c) Standard: Compliance With Accepted Professional Standards and Principles

- "The HHA and its staff must comply with accepted professional standards and principles that apply to professionals furnishing services in an HHA."



## What Surveyors are looking for:

### SOM Appendix B (G121)

- HHA monitoring of its employees and personnel serving the HHA to ensure that services provided are within acceptable professional practice standards
- HHA monitoring of the professional skills of its staff to determine if skills are appropriate for required care



## Deficiency Frequency and Severity

### National (9,900 Providers/ 5,566 Surveys)

- 4.2% Cited for not complying with accepted professional standards/ principles

### Region 9 (993 Providers/ 533 Surveys)

- 6.1% Cited for not complying with accepted professional standards/ principles

### Nevada (84 Providers/ 47 Surveys)

- 7.1% Cited for not complying with accepted professional standards/ principles



## Hospice

### CFR 418.60 Condition of Participation: Infection Control

- "Hospice must maintain and document an effective IC program that protects patients, families, visitors and hospice personnel by preventing and controlling infections and communicable diseases"

### Standards (L579- L582)

- Prevention
- IC program integral part of QAPI
- IC program includes method of identification and an appropriate action plan
- Education

Effective January 2, 2009



## What Surveyors are looking for:

### SOM Appendix M (L578- L582)

- Steps taken to assure that staff take appropriate infection and communicable disease prevention and control precautions
- Patients and families receive timely instructions regarding standard precautions to follow to prevent and control infections
- Following of accepted standards of practice, including standard precautions
- Agency wide IC program
- Education



## Deficiency Frequency and Severity FY 2009 Q1 to present

### National (3,389 Providers/ 1,197 Surveys)

- 0.5% L577 Cited for Condition of Participation: Infection Control

### Other Frequently Cited Tags

- L579 Prevention, "Standard Precautions"
  - Hand Washing, Not wearing gloves
- L581 Identifying UTIs



## ESRD Guidelines for Infection Control

### CFR 494.30 Condition of Coverage: Infection Control

- "The facility must provide and monitor a sanitary environment to minimize the transmission of infectious agents within and between the unit and any adjacent hospital or other public areas".

Effective October 14, 2008



## What Surveyors are looking for:

### SOM Appendix H

### Standards (V111-V148)

- Standard infection control precautions followed
- Disposable gloves worn and hand washing
- Sufficient number of sinks with warm water and soap
- Staff wear necessary protective attire
- Items taken from dialysis station must be disposed of, dedicated for use of a single patient, or cleaned and disinfected before bringing to a common clean area or using on another patient



### What Surveyors are looking for continued...

- Non disposable items that can't be cleaned or disinfected should be dedicated for single patient use
- Unused medication or supplies taken to patient's station should only be used for that patient and cannot be returned to common clean area or used on another patient
- Clean areas clearly designated
- Use external venous and arterial pressure transducer filters/protectors. Filters not to be reused
- Cleaning and disinfection of contaminated surfaces, medical devices and equipment
- Patient isolation to minimize spread of infection
- Routine Hepatitis B testing, screening, isolation and vaccinations
- IC training and education



### Deficiency Frequency and Severity FY 2008

- **National (5,337 Providers/ 716 Surveys)**  
88.8% (V122) Cited for not having clean, disinfected surfaces & equipment with written protocols  
88.8% (V117) cited for having clean/dirty areas, med prep area, no common med carts
- **Region 9 (638 Providers/ 26 Surveys)**  
88.5% (V122) Cited for not having clean, disinfected surfaces & equipment with written protocols  
88.5% (V117) Cited for having clean/dirty areas, med prep area, no common med carts



### ICF/MR

CFR 483.460 Condition of Participation: Health Care Services

- "Individuals receive preventative services and prompt treatment for acute and chronic health conditions; and individuals' health is improved or maintained unless the deterioration is due to a documented clinical condition for which deterioration or lack of improvement is an accepted prognosis."

CFR 483.470 Condition of Participation: Physical Environment

- "The environment promotes the health and safety, independence and learning of the individuals who reside there."



### What Surveyors are looking for:

SOM Appendix J (W318-W458)

- Maintenance of a record of incidences and corrective actions related to IC
- Practicing established techniques
- Analysis of problems resulting in corrective action
- Aggressive resolution to problems
- Sanitary Environment
- Linen Areas



### Citation Frequency and Severity FY 2008

- **National (6,535 Providers/10,586 Surveys)**  
3.5% W455 cited for prevention, control, investigation of infection
- **Region 9 (1,219 Providers/ 3,167 Surveys)**  
3.7% W455 cited for prevention, control, investigation of infection
- **Nevada (9 Providers/ 15 Surveys)**  
6.7% W341 and W454 Cited for control of communicable diseases and maintaining a sanitary environment to avoid infection



### Thank you!

#### Questions?

*steven.chickering@cms.hhs.gov*

**415-744-3679**

#### Website:

*[http://www.cms.hhs.gov/SurveyCertificationGenInfo/01\\_Overview.asp#TopOfPage](http://www.cms.hhs.gov/SurveyCertificationGenInfo/01_Overview.asp#TopOfPage)*

